

2013 Federal Transportation Improvement Program (FTIP) Checklist and Development Guidance

This checklist will be used by Caltrans to check completeness of FTIP submittals by MPOs

I. Time Line:

- Submit the Draft 2013 FTIP to Caltrans at the start of the FTIP public review period, but no later than **September 3, 2012**.
- Submit the Final 2013 FTIP and their amendments are due to Caltrans on **October 1, 2012**.
- Post the Final 2013 FTIP on Metropolitan Planning Organization (MPO) website by **October 5, 2012**.

II. Checklist for the 2013 FTIP:

MPOs shall include the following as part of the FTIP package to Caltrans Office of Federal Transportation Management Program (OFTMP):

- ☐ Project Listings
 - Identify those projects that are Transportation Control Measures (TCMs)
- ☐ Detailed Listings for Grouped Projects (back-up listings)
- ☐ Signed Board Resolution that addresses the following:
 - Consistency with the metropolitan transportation planning regulations per Title 23 Code of Federal Regulations Part 450;
 - Consistency with the Regional Transportation Plan (RTP) _____ (e.g. 2030);
 - Financially constraint, the enclosed financial summary affirms availability of funding;
 - Meets Air Quality Conformity;
 - Does not interfere with the timely implementation of the TCMs contained in the State Implementation Plan (SIP);
 - Completion of public participation process in accordance with the MPO's Public Participation Plan (PPP).
- ☐ Project listings included in the final 2013 FTIP are available in California Transportation Improvement Program System (CTIPS)
- ☐ Financial Summary (Attachment A)
 - Includes information covering the first four years of the FTIP
 - Electronic copy to your OFTMP FTIP Coordinator your completed financial tables in Excel format
- ☐ Air Quality Conformity Analysis and Determination
- ☐ PPP/ Interagency Consultation
 - Include the web link to the MPO's PPP
- ☐ Project Selection Criteria Documentation
- ☐ Expedited Project Selection Procedures (EPSP) Documentation
 - Include the following statement: ***"Projects from the first four years of 2013 FTIP have been selected using the approved project selection procedures."***
- ☐ Five Copies of the Final 2013 FTIP

III. Mailing Address:

California Department of Transportation
Office of Federal Transportation Management Program, MS 82
P.O. Box 942874
Sacramento, CA 94274-0001
Attn: Muhaned Aljabiry

General Guidance:

This guidance is not intended to supersede any federal regulations. FTIPs must comply with applicable metropolitan transportation planning regulations per Title 23 Code of Federal Regulations Part 450.

1. At the start of the public review period and no later than September 3, 2012, MPOs must transmit 2 copies of their draft 2013 FTIPs to Caltrans OFTMP. All items listed on the FTIP Checklist must be included in the draft 2013 FTIP, except for the signed board resolution.
2. If any MPO does not meet the deadline for FTIP submittal, its FTIP will not be included in the FSTIP until the FSTIP has been approved by the FHWA/FTA. Caltrans will be required to post that MPO's FTIP for public review for 14 days.
3. During the development of the FSTIP, any amendments or administrative modifications to the board adopted FTIPs will be included as part of the Draft FSTIP if they are submitted to Caltrans seven days prior (**October 1, 2012**) to the start of the public review of the Draft FSTIP. Any amendments and modifications that do not meet the deadline will be processed after the federal approval of the FSTIP.
4. Federal regulations require FTIPs to identify costs for maintaining and operating the system of Federal-aid facilities. Include the basis for the calculations of operations and maintenance needs for your region, and provide analysis of revenues dedicated for those activities in the FTIP Financial Plan. Also address the anticipated shortfall in the available revenue, if any, and include plans to address the shortfall.
5. For Planning Studies (non-transportation capital), verify that these projects are included in the Overall Work Program rather than the FTIP.
6. The total funding for each phase shall be shown in the fiscal year wherein federal authorization (E-76 approval) will be sought.
7. Grouped Project Listings: Attachment B provides guidance to MPOs for grouping projects in air quality nonattainment or maintenance areas.
For MPO areas and rural non-MPO counties that are classified as air quality attainment (SLOCOG, SBCAG, AMBAG and SHASTA) refer to 23CFR771.117 (c) & (d) for additional information on projects that can be classified as "Categorical Exclusion (CE)." For those areas, projects that are not considered regionally significant and qualify as CE may be grouped together. It is the MPO's responsibility to make the eligibility determination for projects to be included in grouped project listings.
8. Projects must be included in the FSTIP to receive environmental approval. Therefore, projects with no funding programmed within the four years of the FTIP and that are programmed in order to receive environmental document approval must add the following to the project description:

a. RTP Reference and schedule

b. Project included in the FTIP for environmental approval

9. Each project or phase in the FTIP shall include the following information:
 - a. Sufficient descriptive material (i.e., type of work, termini, and length) to identify the project or phase. See the section below for more information.
 - b. Total project cost based on the latest estimates, which may extend beyond the four years of the FTIP. The cost estimates must use an inflation rate(s) to reflect "year of expenditure dollars" based on reasonable financial principals and assumptions. In nonattainment and maintenance areas, projects in the first two years of the FTIP shall be limited to those for which funds are available and committed. Include these financial principals and assumptions in the "Financial plan" for your FTIP.

- c. The amount of Federal funds proposed to be obligated during each program year (for the first year, this includes the proposed category of Federal funds and source(s) of nonfederal funds. For the second, third, and fourth years, this includes the likely category or possible categories of Federal funds and sources of nonfederal funds)
- d. Required non- federal matching funds
- e. Implementing agency
- f. Corresponding Regional Transportation Plan (RTP) number or RTP page number. MPOs that use CTIPS to develop their FTIPs may use "Project Title, Location & Description" field or "MPO Comments" field in CTIPS for including RTP information.

8. Project description must be consistent with the following format:

- **For Highway Projects (State Highways/Local Roads):**

Description Formula: [(Location :) + (Limits) + (;) + (Improvement)]	
Location:	<p>The nearest city or significant town illustrated on popular state highway maps. If the project is located more than 5 miles away from the city or town then prefix the city name with "East, West, North, or South of".</p> <ul style="list-style-type: none"> • <i>In Bakersfield:</i> • <i>South of Bakersfield:</i>
Limits:	<p>Project limits can be stated as from one road or street to another. Other boundary landmarks, such as rivers, creeks, state parks, freeway overcrossings, can be used in-lieu of streets or roads.</p> <ul style="list-style-type: none"> • <i>Between 1st Street and Pine Boulevard;</i> • <i>North of Avenal Creek to South of Route 33;</i> • <i>At Rock Creek Bridge;</i>
Improvement:	<p>Describes the work to be done. Include significant components of the improvement (in particular those that relate to air quality conformity).</p> <ul style="list-style-type: none"> • <i>Rehabilitate roadway.</i> • <i>Convert 4-lane expressway to 6-lane freeway with 2 HOV lanes.</i> • <i>Construct left turn lane.</i>
Example: In Bakersfield: Between 1 st Street and Pine Boulevard; rehabilitate roadway.	

- **For Transit Projects:**

Description Formula: [(Location :) + (Limits) + (;) + (Improvement/Activity)]	
Location:	<p>For work at spot locations for large (statewide) transit agencies:</p> <ul style="list-style-type: none"> • Nearest city or significant town illustrated on popular state highway maps. If the project is located more than 5 miles away from the city or town then prefix the city name with "East, West, North, or South of". • <i>In Bakersfield:</i> • <i>North of Bakersfield:</i> <p>Otherwise: Skip this step</p>
Limits:	<p>For work at spot locations (all agencies): Name of station, description of facility, name the rail corridor for the project etc.</p> <ul style="list-style-type: none"> • <i>Lafayette BART Station;</i> • <i>The Daly City Yard, adjacent to the Colma Station;</i> • <i>San Joaquin Corridor;</i> <p>Otherwise: Skip this step</p>
Improvement/ Activity:	<p>Describes the work to be done. Include significant components of the improvement (in particular those that relate to air quality conformity).</p> <ul style="list-style-type: none"> • <i>Construct station.</i> • <i>Construct a Child Care Facility</i> • <i>Track and signal improvements</i> <p>Projects that apply to entire transit agency jurisdiction – describe activity</p> <ul style="list-style-type: none"> • <i>Purchase of 59 buses - 12 MCI's and 47 Standard 40 ft buses (note if expansion or replacement)</i> • <i>Paratransit van leasing</i> • <i>Operating assistance for Sacramento Regional Transit</i>
<p>Examples: North of Bakersfield: San Joaquin Corridor - Track and signal improvements. Lafayette BART Station; construct a Child Care Facility Operating assistance for Sacramento Regional Transit</p>	

Use of Toll credits for the 2013 FTIP:

Federal-aid highway projects typically require project sponsors to provide certain amount of non-federal funds as match to federal funds. Through the use of Toll Credits (TCs), the non-federal share match requirement can be met by applying an equal amount of toll credit and therefore allow a project to be funded up to 100% federal funds for federally participating costs. TCs can be used for the four-year duration of the 2013 FTIPs for state and local highway, and transit projects. Note that use of toll credits does not generate additional federal funding and is limited to the non-federal match required for the federal apportionments available in any given year.

The table includes federal programs for which TCs may or may not be used:

Program	Criteria/ Programming Instructions	CTIPS Fund Type
STIP	Projects with the construction cost (excluding support costs) and/or the right of way cost (excluding support costs) greater than \$1 million are eligible to receive TCs.	STIP AC
SHOPP	All SHOPP projects shall be programmed with 100% SHOPP AC	SHOPP AC
Highway Maintenance	All Projects shall be programmed with 100% federal funds (STP or NHS) using TCs.	STP or NHS
State Minor	All eligible projects shall be programmed with 100% "SHOPP-AC – Minor Program" fund type (flexible federal fund type) using TCs.	SHOPP AC – Minor Program
HBP	TCs are to be used only on off federal aid system projects	HBP
HSIP, HR3	Per Caltrans "Toll Credits Policy", TCs will not be used for projects from the local safety programs.	
CMAQ and RSTIP	Projects may be programmed with TCs at MPO's discretion. Projects using TCs shall note the "use of TCs" in the project description in the FTIP.	CMAQ, RSTP
FTA- Funded Projects	<p>Projects funded from the formula program are eligible to receive TCs. Below is the list of eligible programs. Projects using TCs shall note the "use of TCs" in the project description in the FTIP.</p> <ul style="list-style-type: none">• 5307 including CMAQ and RSTP FTA transfer projects• 5309• 5310	Various

	<ul style="list-style-type: none"> • 5311 including CMAQ and RSTP FTA transfer projects • 5316 • 5317 	
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Inclusion of State Highway Programs:

I. 2012 State Transportation Improvement Program (STIP):

1. The California Transportation Commission (CTC) Staff recommendations for 2012 STIP projects is expected to be released on March 8, 2012.
2. CTC adoption of 2012 STIP is expected on March 28, 2012.
3. 2012 STIP will be available in the California Transportation Improvement Program System (CTIPS) for transferring into FTIPs in May 2012.
4. The total project cost must be programmed in the FTIP, and all projects funding including non-STIP funding must be shown in the FTIP. (Note: if a phase occurs outside the valid FSTIP period, then the total project cost can be shown under the MPO comment section in CTIPS or in the project description)
5. When a STIP project is transferred from the STIP into the FTIP in CTIPS through “CTIPS Transfer Mechanism”, Right of Way Support and Construction Support costs will be added to the corresponding capital costs.

MPOs may choose any of the following four options for programming STIP projects in the 2013 FTIP:

- i. MPOs may use information from the 2012 STIP after adoption by the CTC. The 2013 FTIP submittals are due to Caltrans on October 1, 2012 to allow MPOs to use this option. Caltrans highly recommends MPOs to use this option.
- ii. MPOs may use CTC staff recommendations for programming 2012 STIP projects in the 2013 FTIPs. See note below.
- iii. MPOs may use the county and interregional shares information from the CTC adopted 2012 STIP Fund Estimate (FE) for programming STIP projects in the 2013 FTIPs. See link below for information.

http://www.dot.ca.gov/hq/transprog/ctcliaison/misc%20OCTCL%20Info/Final_2012_STIP_FE.pdf

For the first three years of the 2013 FTIP (i.e. FYs 2012/13, 2013/14 and 2014/15) MPOs must program only existing projects from the 2010 STIP that are to be re-programmed in the 2012 STIP. MPOs may program new STIP projects, if any, in the fourth year (i.e. FY 2015/16) of the 2013 FTIP. The total programmed STIP funding in 2013 FTIP shall be constrained to the available STIP targets for your region per FE. See note below.

- iv. MPOs may choose to program only existing projects from the 2010 STIP that are to be re-programmed in the 2012 STIP for programming STIP projects in the 2013 FTIPs. See note below.

Note (For option ii, iii., or iv.): After the CTC adopts the 2012 STIP, MPOs may need to prepare an FTIP amendment to the 2011FSTIP to align the 2013 FTIP with the adopted 2012 STIP. Such reconciliation shall be done through the first amendment to the 2013 FTIP and submitted to Caltrans along with the final 2013 FTIP by October 1, 2012.

Toll Credits (TCs) can be used for programming 2012 STIP projects in the 2013 FTIP. Projects with the construction cost (excluding support costs) and/or the right of way cost (excluding support costs) greater than \$1 million are eligible to receive TCs. However, TCs shall not be used if the non-federal matching requirement has already been met with other non-federal funds (e.g. Proposition 1 B, Local Funds).

Programming Guidelines and Fund Types:

1. For the projects eligible to receive TCs, STIP – IIP or RIP funding portion of the project (including all support and capital costs) shall be programmed with 100% “STIP-AC” fund type shown below using TCs. Any non STIP project funding (e.g. Proposition 1 B, Local Funds) shall be programmed in accordance with the STIP funding details per CTIPS.
2. Projects with the construction cost (excluding support costs) and/or the right of way cost (excluding support costs) less than \$1 million, all STIP – IIP or RIP funding portion of the project shall be programmed with 100% “STATE CASH” fund type shown below. (Unless the project is multi-funded with STIP and other federally eligible Local Assistance funding such as CMAQ, HPP, etc, in which case all STIP funds shall be programmed with 100% “STIP-AC”).
3. TE projects (RIP and IIP) can be programmed as 100% federally funded projects using TCs. Use the fund type below for programming TE funding.

Fund Types:

1. STIP AC:

CTIPS (California Transportation Improvement Program System)

File Edit View Actions Tools Help

Fund Table Manager

Edit Fund Type | **Browse All Funds**

Fund Type Details

Fund ID: STIP-AC Fund Name: STIP Advance Construction

Detailed Fund Description (Huh?" Button): Fund type to be used for programming STIP projects that are to be funded with federal funds. FEDERAL PARTICIPATION: 100 percent.

☐ Blended Fund Type

Match %: ? Match Fund: [Dropdown]

Type: ☒ Federal ☐ State ☐ Local

☐ Archived Fund Type ☐ State Highway Account

Program Category(s) Containing this Fund Type

IIP
IPP Prior
RIP
RIP Prior

Select Category to Add: [Dropdown]

Add Delete

MPO Filter - This Fund Type Applies to ...

<input checked="" type="checkbox"/> AMBAG	<input checked="" type="checkbox"/> BCAG	<input checked="" type="checkbox"/> COFCG	<input checked="" type="checkbox"/> KCOG	<input checked="" type="checkbox"/> MCAG
<input checked="" type="checkbox"/> MTC	<input checked="" type="checkbox"/> SACOG	<input checked="" type="checkbox"/> SBCAG	<input checked="" type="checkbox"/> SCAG	<input checked="" type="checkbox"/> SANDAG
<input checked="" type="checkbox"/> Shasta	<input checked="" type="checkbox"/> SJCOG	<input checked="" type="checkbox"/> SLOCOG	<input checked="" type="checkbox"/> STANCOG	<input checked="" type="checkbox"/> TCAg
<input checked="" type="checkbox"/> Kings	<input checked="" type="checkbox"/> TRPA	<input checked="" type="checkbox"/> Madera	<input checked="" type="checkbox"/> Rural Non-MPO	

Check All ?

Delete Fund Type Add Fund Type Top Prior Next Bottom Exit

State_overdue Record: 1/27 Exclusive NUM

2. STATE CASH:

CTIPS (California Transportation Improvement Program System)

File Edit View Actions Tools Help

Fund Table Manager

Edit Fund Type **Browse All Funds**

Fund Type Details

Fund ID: ST-CASH Fund Name: State Cash

Detailed Fund Description (Huh? Button):
 State fuel tax funds. Commonly used to match federal aid funds (Match %: 11.47%). Can be used to fund 100% cost of project if approval is granted (ie. state only funded project)
 State cash can also be used to match local CMAQ and STP funds under narrow circumstances.

☐ Blended Fund Type Match %: 0.00% Match Fund: [v]
☐ Federal ☒ State ☐ Local

☐ Archived Fund Type ☒ State Highway Account

Program Category(s) Containing this Fund Type

CT Minor Pgm.
 Calculated State Match
 GF IIP
 GF IIP Prior
 GF RIP
 GF RIP Prior
 Highway Bridge Program - St
 Highway Maintenance
 IIP

Select Category to Add: [v]
 Add Delete

MPO Filter - This Fund Type Applies to ...

☒ AMBAG ☒ BCAG ☒ COFCG ☒ KCOG ☒ MCAQ
☒ MTC ☒ SACOG ☒ SBCAG ☒ SCAG ☒ SANDAG
☒ Shasta ☒ SJCOC ☒ SLOCOG ☒ STANCOG ☒ TCAG
☒ Kings ☒ TRPA ☒ Madera ☒ Rural Non-MPO

Check All ?

Delete Fund Type Add Fund Type Top Prior Next Bottom Exit

Selected 32 records in 0.02 seconds NUM

3. TE:

CTIPS (California Transportation Improvement Program System)

File Edit View Actions Tools Help

Fund Table Manager

Edit Fund Type | **Browse All Funds**

Fund Type Details

Fund ID: STPE-S Fund Name: STP Enhancement Detailed Fund Description (Huh? Button): Surface Transportation Program - Set aside for Transportation Enhancement Activities. This fund does not include state matching funds, it is 100% federal. This fund is used when there are sufficient local funds to provide the 11.47% match.

Blended Fund Type: ☐ Match %: ? Match Fund: 0.00% Type: ☒ Federal ☐ State ☐ Local

☐ Archived Fund Type ☒ State Highway Account See: <http://www.fhwa.dot.gov/infrastructure/progadmin/part1.htm#enhance>

Program Category(s) Containing this Fund Type

GF IIP Prior
GF RIP
GF RIP Prior
IIP
IIP Prior
Other State
RIP
RIP Prior
SHOPP - TEA

Select Category to Add:

Add Delete

MPO Filter - This Fund Type Applies to ...

☒ AMBAG ☒ BACAG ☒ COFOG ☒ KCOG ☒ MCAG
☒ MTC ☒ SACOG ☒ SBCAG ☒ SCAG ☒ SANDAG
☒ Shasta ☒ SJCOG ☒ SLOCOG ☒ STANCOG ☒ TCAG
☒ Kings ☒ TRPA ☒ Madera ☒ Rural Non-MPO

Check All ?

Delete Fund Type Add Fund Type Top Prior Next Bottom Exit

State_overdue Record: 1/27 Exclusive NUM

II. 2012 State Highway Operation and Protection Program (SHOPP):

1. Caltrans will be submitting the proposed 2012 SHOPP to the CTC on January 15, 2012. CTC approval of the 2012 SHOPP is scheduled for April 25, 2012. 2012 SHOPP will be available in CTIPS by June 1, 2012.
2. OFTMP will provide SHOPP Grouped Project Listings Reports that include detailed project listings and associated funding information to MPOs after June 1, 2012. Use these reports to program SHOPP projects in your 2013 FTIP.
3. Total revenue for SHOPP projects for your region is equal to total programmed funding for SHOPP projects.
4. For projects from the non-attainment areas, MPOs to identify any projects from the SHOPP Grouped Project Listings Report that are non-exempt from air quality conformity determination, and list them individually in the FTIPs.
5. For projects from the attainment areas, MPOs to review the projects from the SHOPP Grouped Project Listings Report and individually list any projects that are not classified as "Categorical Exclusion (CE)" in the FTIPs. MPOs may contact their District FTIP Coordinators if they need more information on the project scope in order to make the determination of non-Exempt/CE.
6. Use the fund type below to program the SHOPP projects in your 2013 FTIPs. When programming in the FTIP, funding for the grouped projects (or individually listed projects) need to be programmed with 100% "SHOPP Advance Construction (AC)" using TCs.

SHOPP AC:

CTIPS (California Transportation Improvement Program System)

File Edit View Actions Tools Help

Fund Table Manager

Edit Fund Type

Browse All Funds

Fund Type Details

Fund ID: SHOPPAC Fund Name: SHOPP Advance Construction (AC) Detailed Fund Description ('Huh?' Button): State funds used to advance SHOPP projects.

☐ Blended Fund Type

☐ Archived Fund Type

Match %: ? Match Fund:

Type:

- ☐ Federal
- ☒ State
- ☐ Local

Program Category(s) Containing this Fund Type

Select Category to Add:

CT Minor Pgm.
SHOPP - Bridge Preservation
SHOPP - Collision Reduction
SHOPP - Emergency Respor
SHOPP - Mandates
SHOPP - Mobility
SHOPP - Roadside Preserva
SHOPP - Roadway Preservat
SHOPP Prior

Add Delete

MPO Filter - This Fund Type Applies to

☒ AMBAG ☒ BCAG ☒ COFCG ☒ KCOG ☒ MCAG
☒ MTC ☒ SACOG ☒ SBCAG ☒ SCAG ☒ SANDAG
☒ Shasta ☒ SJCOG ☒ SLOCOG ☒ STANCOG ☒ TCAG
☒ Kings ☒ TRPA ☒ Madera ☒ Rural Non-MPO

Check All ?

Delete Fund Type Add Fund Type

Top Prior Next Bottom

Exit

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NUM

III. Various State and Federal Programs:

Programming information for various federal aid programs will be posted at the link below. OFTMP will also e-mail the programming information to MPOs once available. Note that projects from these programs can be programmed through grouped project listings in the FTIP.

http://www.dot.ca.gov/hq/transprog/federal/var_fed_state_prog.htm

Attachments:

Attachment A: Financial Summary Template

Attachment B: Programming Grouped Project Listings in Air Quality Non-Attainment or Maintenance Areas